



# Educational Quality and Assessment Programme (EQAP)

## The Pacific Quality Assurance Framework

Secretariat of the Pacific Community  
Suva, Fiji

2015



# Table of Contents

---

Abbreviations .....	1
Foreword .....	1
<b>SECTION I: THE PACIFIC QUALITY ASSURANCE FRAMEWORK .....</b>	<b>3</b>
1. Policy Context.....	3
2. Definitions .....	3
3. Purpose and Scope .....	4
4. Core Values and Principles .....	5
5. Challenges and Gaps .....	6
6. Vision, Mission and Objectives.....	7
7. Priority Areas .....	7
8. Monitoring and Evaluation .....	8
<b>SECTION II: QUALITY STANDARDS AND GUIDELINES .....</b>	<b>9</b>
Section 2A: Framework for Quality Assurance of Accreditation Agencies .....	9
Standard A.1: Establishment and Recognition .....	10
Standard A.2: Governance, Management and Structure .....	10
Standard A.3: Independence and Autonomy .....	10
Standard A.4: External quality assurance criteria and processes for HEIs.....	11
Standard A.5: Internal quality assurance system .....	11
Standard A.6: Resources .....	12
Standard A.7: Representation and Appeals .....	12
Standard A.8: Reporting .....	12
Standard A.9: Information Management .....	12
Section 2B: Framework for Quality Assurance of Institutions.....	13
Standards and Guidelines for Quality Assurance of Institutions.....	14
Standard B.1: Establishment, Organizational Focus and Structure.....	14
Standard B.2: Governance and Management .....	14
Standard B.3: Programme Development and Review .....	14
Standard B.4: Learning and Teaching .....	15
Standard B.5: Financial Stability .....	15
Standard B.6: Staffing .....	15
Standard B.7: Learner information and support .....	16
Standard B.8: Physical and Learning Resources .....	16
Standard B.9: Assessment and Moderation .....	16
Standard B.10: Reporting learner achievement .....	17
Standard B.11: Research.....	17

Standard B.12:	Information management .....	17
Standard B.13:	Appeals, Grievances and Complaints Resolution .....	18
Section 2C: Framework for Quality Assurance of Programmes and Components .....		18
Standards for Quality Assurance of Programmes.....		19
Standards and Guidelines for Quality Assurance of Programmes .....		19
Standard C.1:	Qualification Title .....	19
Standard C.2:	Purpose Statement.....	19
Standard C.3:	Outcome Statement .....	19
Standard C.4:	Entry requirements .....	20
Standard C.5:	Components of the programme.....	20
Standard C.6:	Qualification level .....	21
Standard C.7:	Credit profile .....	21
Standard C.8:	Completion Rules.....	21
Standard C.9:	Programme Design, Approval and Review.....	22
Standard C.10:	Assessment and Moderation .....	22
Section 2D: Standards & Guidelines for Quality Assurance of Programme Components ..		22
Standard D.1:	Component Title.....	22
Standard D.2:	Purpose .....	23
Standard D.3:	Learning Outcomes .....	23
Standard D.4:	Assessment.....	23
Standard D.5:	Entry Requirements.....	24
Standard D.6:	Completion Rules .....	24
Standard D.7:	Credit Value.....	24
Standard D.8:	Level of Component .....	25
Standard D.9:	Component developer.....	25
Standard D.10:	Review Date .....	25
Glossary	.....	26
Bibliography	.....	29
Appendices	.....	31
Appendix 1: Application for Accreditation of Institution Form*	.....	31
Appendix 2: Application for Accreditation of Programme Form*	.....	43
Appendix 3: Template for Evaluation of Institutional Accreditation Application.....		53
Appendix 4: Template for Evaluation of Programme Accreditation Application .....		66
Appendix 5: Template for Quality Audit of Agency .....		75

**Note:**

\* To be used by countries that do not have national agencies and would apply to EQAP for the accreditation of their institutions and programmes

## Abbreviations

---

APQN	Asia Pacific Quality Network
DFAT	The Australian Aid Programme, Department of Foreign Affairs and Trade
EQAP	Educational Quality and Assessment Programme
INQAAHE	International Network of Quality Assurance Agencies in Higher Education
NQF	National qualifications framework
PEDF	Pacific Education Development Framework
PQAF	Pacific Quality Assurance Framework
PQF	Pacific Qualifications Framework
PRQS	Pacific Register of Qualifications and Standards
QSG	Quality Standard and Guidelines
SPBEA	Secretariat of the Pacific Board for Educational Assessment
SPBEQ	Secretariat of the Pacific Board for Educational Quality

## Foreword

---

The call by the Asian and Pacific ministers for education in Brisbane 2006<sup>1</sup> ‘to develop a quality assurance framework for the region linked to international standards, including courses delivered online’ recognises the diverse range of quality assurance policies and practices prevailing in the region. It also recognises ‘quality education and training’ as the firm foundation for socio-economic development. In the Pacific region, people are its most valuable resource. Being mindful of the exponential growth of post-school education and training institutions in all Pacific countries, including cross-border provision, it is vital that the Pacific responds to this call by the education ministers, but at the same time must be wary of diploma mills and rogue accrediting agencies.

The Pacific Quality Assurance Framework (PQAF) is the Pacific’s response to the Brisbane Communique for a “regional quality assurance framework for the region”. The PQAF addresses quality standards for accrediting agencies, all forms of education and training Institutions (such as technical and vocational, tertiary and non-tertiary, and field-specific forms, such as theological education and maritime training), and Programmes.

The PQAF is intended to serve two important purposes. First, it provides broad quality principles on the roles and functions of accrediting agencies in monitoring and sustaining quality within post-school education and training institutions. Understandably, accrediting agencies and institutions have developed their own quality strategies that address their specific fields of responsibility and programmes. The PQAF is not intended to standardise the quality assurance practices in the Pacific. The PQAF provides a broad base for accrediting agencies and institutions to compare and inform their own quality assurance policies and processes. However, where the opportunity arises to relate to regional initiatives such as the Pacific Qualifications Framework (PQF) and the Pacific Register of Qualifications and Standards (PRQS), the PQAF provides a common quality standard for mutual understanding and implementation.

The second purpose of the PQAF is as the Accreditation and Standards Unit’s own quality management strategy. The PQAF will be applied in the periodic review of the Accreditation Unit’s<sup>2</sup> work that provides opportunities for continuous improvement. This document is in two parts:

- Section I is the PQAF; and
- Section II is the set of standards and guidelines for:
  - a. the accrediting agencies;
  - b. the institutions;
  - c. programmes; and

---

<sup>1</sup> The Brisbane Communique, [www.apqn.org/virtual\\_library/reports/](http://www.apqn.org/virtual_library/reports/)

<sup>2</sup> The Accreditation and Standards Unit is the EQAP’s section that is coordinating the development of the PRQS.

d. programme components

The PQAF is an output of the Project<sup>3</sup> funded by the Australian Aid Programme project on the development of the PRQS.

---

<sup>3</sup> Australian Agency for International Development

# SECTION I: THE PACIFIC QUALITY ASSURANCE FRAMEWORK

---

## 1. Policy Context

The Pacific Quality Assurance Framework (PQAF) recognises the growth of technical and higher education institutions in the Pacific region including online delivery, the global commitment to developing national qualifications frameworks and the aspirations of Pacific leaders for Pacific qualifications and standards to be benchmarked against appropriate international standards.

The PQAF directly addresses the core issue of ‘quality education’ as articulated in the Pacific Education Development Framework (PEDF), the Brisbane Communiqué, the Education For All objectives, the Millennium Development Goals and the Sustainable Development Goals for 2015-2030. Quality education is indeed a cross-cutting theme that underscores all other developmental activities.

The PQAF is informed by the quality assurance systems of larger countries (Australia, New Zealand and the European Community), as well as the development of Pacific systems. It is cognizant of international ‘best practices’ in quality assurance, as reflected in the guidelines of good practice by the International Network of Quality Assurance Agencies in Higher Education (INQAAHE — [www.inqaahe.org](http://www.inqaahe.org)); the quality criteria of the Asia Pacific Quality Network (APQN — [www.apqn.org](http://www.apqn.org)) and the Asia-Pacific Chiba quality principles.

The PQAF will provide a common ground for mutual understanding of how accrediting agencies and education and training institutions relate to the Pacific Register of Qualifications and Standards (PRQS).

## 2. Definitions

The following definitions clarify the terminology used in this document for mutual understanding.

### 2.1 Quality

Quality is a complex, multi-dimensional and often subjective concept, as it is most often determined by different stakeholders under usually very different circumstances. In assuring the quality of education and training activities, ‘quality’ is understood to mean any of the following: ‘excellence’, ‘fit for purpose’, ‘continuous improvement’, ‘achieving thresholds’ and ‘enhancement’. In this context, all of these meanings are assumed but will predominantly be both ‘fit for purpose’ and ‘continuous improvement’.

### 2.2 Quality assurance

Quality assurance is the set of planned and systematic processes that provide confidence

in the design, delivery and award of qualifications within an education and training system. Quality assurance ensures that relevant policies and procedures are thoroughly developed and clearly communicated to all relevant personnel for implementation. The diligent application of policies and procedures confirms to an agency or institution's multiple stakeholders that their interests and investments are protected.

### **2.3 Quality audit**

An independent, systematic and documented examination of an institution, system or process, to obtain authentic evidence and evaluate it objectively against set standards to determine compliance, efficiency and effectiveness. The kind of evidence that a quality audit looks for is the consistent application of clearly defined procedures that are thoroughly developed and communicated to all personnel of an agency or institution.

### **2.4 Internal quality assurance**

The policies and procedures of an agency or institution that build a culture of quality in all its processes, operations and programmes and that are clearly communicated to and applied by all its personnel.

### **2.5 External quality assurance**

An independent assessment of an agency, an institution or a programme of learning, to confirm its compliance with set standards. An external quality assurance (or quality audit) activity usually involves the following stages:

- a) an agency or institution conducts a **self-assessment** of its operations or programmes;
- b) an **analysis of documentation** submitted with the self-assessment report;
- c) a **site visit** to confirm the self-assessment report and verify evidence submitted; and
- d) a **final report** on the status of the agency, institution or programme.

## **3. Purpose and Scope**

The PQAF supports and sustains the development of a 'culture of quality' within accrediting agencies and within all aspects of institutions of education and training. The PQAF recognises the Pacific's capacity limitations in quality assurance, its limited financial resources devoted to quality assurance activities and the challenges of maintaining objectivity and independence within small communities. The PQAF provides a broad structure, against which Pacific states can evaluate their quality assurance policies and procedures for mutual understanding and collaboration.

### **3.1 Purpose**

Accrediting agencies and institutions adopt and apply a wide range of quality assurance processes, defined and implemented to suit their domestic and/or relevant contexts. In general terms, quality assurance is conducted to respond to one or more of the following:

- a) a requirement by law, such as legislation, an act of parliament or a government decree. For instance, a government may instigate an external review of an institution to determine the government's return on investment;
- b) an institution's own commitment to continuous improvement of its systems, processes and programmes;
- c) an institution's desire to gain some international academic or industry recognition or certification (e.g. ISO 900X).

### 3.2 Scope

The PQAF provides a strategic focus on the achievement of 'quality' in the following areas:

- a) the **accrediting agencies** have robust quality management systems for carrying out their quality assurance functions;
- b) the **institutions** develop internal quality assurance processes to govern and guide all of their activities;
- c) the **programmes** are designed, delivered and assessed following the most current and relevant methodologies that promote and support learner achievement.

Section II of this document provides the details of the quality standard for each of the above areas.

## 4. Core Values and Principles

### 4.1 Core Values

The core values espoused by the PQAF include:

- a) that learning is a lifelong process;
- b) that quality education and training is a fundamental human right;
- c) that institutions and accrediting agencies are accountable and responsible to their multiple stakeholders;
- d) that diversity — of traditions, cultures, religious values, views, practices and beliefs — is respected;
- e) that regular consultations with multiple stakeholders are essential for continuing relevance and currency.

### 4.2 Principles

The following principles guide the application of the PQAF:

- a) **Integrity:** an ethical and trustworthy quality assurance system that instils mutual trust, confidence and understanding of education and training systems either within a country or in the Pacific region; members of quality assurance panels, whether internal or external, must be adequately trained to fully understand and carry out their role;
- b) **Evidence-based:** all findings and conclusions are based on factual evidence that is accurate and directly related to the area being investigated;
- c) **Independence:** any quality assurance activity being conducted (e.g. accreditation or audit) must be implemented by people who are independent of the area under review and they must remain impartial until the activity is completed; the reports and conclusions of a quality assurance activity are not influenced by external parties;
- d) **Confidentiality:** any information collected is protected from unauthorised access and use, and the privacy of informants is protected;
- e) **Balanced reporting:** any report produced must be complete, accurate and objective, covering both the strengths and weaknesses of a system or process; all audit reports must highlight the facts supported by adequate evidence;
- f) **Fit for purpose:** The PQAF can be applied to any agency, institution or programme. The purpose will guide how the PQAF is applied, irrespective of the size, context, resources or complexity. The goal is to obtain accurate and authentic evidence for continuous improvement.

## 5. Challenges and Gaps

Most of the literature about Pacific education and training is littered with references to common and ongoing challenges the PQAF will seek to address. Some of these are:

- a) the post-school education and training sector is not well coordinated;
- b) the absence of a common standard for assessing quality within an agency, an institution, a country and across the region;
- c) Pacific graduates having to complete bridging programmes when they attend metropolitan institutions;
- d) a proliferation of low quality institutions delivering sub-standard programmes of learning;
- e) continuing delivery of trade programmes that are grossly under-resourced;
- f) engaging trainers that are either untrained, inadequately trained or lack recent relevant work experience;
- g) a mismatch between work demand and graduate profiles;
- h) accreditation is often 'light touch' and does not reflect the rigour demanded by stakeholders to meet international standards.

## **6. Vision, Mission and Objectives**

### **6.1 Vision**

The Pacific Quality Assurance Framework will underpin the implementation of the Pacific Qualifications Framework (PQF) to facilitate the comparability, and international recognition of Pacific qualifications and standards through improving mutual understanding and application of international best practice in quality assurance.

### **6.2 Mission**

The PQAF will empower accrediting agencies and all forms of Pacific post-school education and training institutions to collaborate in meeting and maintaining international standards that facilitate the international benchmarking of Pacific qualifications and standards; support mobility of learners and labour; and establish clear pathways for lifelong learning in order to improve personal, national and regional socio-economic development.

### **6.3 Objectives**

The overall objectives of the PQAF are to:

- a) improve the quality assurance functions and responsibilities of accrediting agencies;
- b) cultivate and maintain a culture of quality and excellence within Pacific institutions of learning;
- c) improve the quality of programmes for students and other beneficiaries within the region;
- d) ensure clarity and transparency in quality assurance processes and outcomes;
- e) provide a measure of accountability for the investment of public and private funding;
- f) support and foster cooperation of key stakeholders across national borders;
- g) build professional trust and promote stakeholder confidence in the quality of Pacific education and training.

## **7. Priority Areas**

The priority areas articulated in this framework are direct responses to the critical challenges and key issues that have plagued the quality of education and training in the Pacific region. These areas are summarised in the table below and given in greater detail in Section II of this document to ensure mutual understanding of intent and application.

Priority areas	Areas of focus
Accrediting agencies and their quality systems (whether sectoral or national)	<ul style="list-style-type: none"> <li>• governance and management</li> <li>• primary function is quality assurance, including goals, objectives, and vision and mission statements</li> <li>• adequate resources (physical, human and financial)</li> <li>• independence and autonomy</li> </ul>
Institutions of education and training	<ul style="list-style-type: none"> <li>• governance and management structure</li> <li>• vision and mission statements that reflect its goals and objectives</li> <li>• recruitment, selection and continuing professional development of its personnel</li> <li>• adequate resources</li> <li>• an internal quality assurance system that builds a culture of quality</li> <li>• procedures for the design, development, delivery, assessment and review of its programmes</li> </ul>
A programme of learning	<ul style="list-style-type: none"> <li>• a title, outcome and purpose statements</li> <li>• entry requirements, including pre-requisites and co-requisites</li> <li>• resources – physical, personnel, financial, learning. etc.</li> <li>• duration of study and conditions for successful completion</li> <li>• the credit profile and qualification framework level</li> </ul>
A course <sup>4</sup> of study	<ul style="list-style-type: none"> <li>• a title and purpose</li> <li>• learning outcomes or competencies</li> <li>• resources</li> <li>• delivery and assessment methodologies</li> <li>• entry requirements, including pre-requisites and co-requisites</li> <li>• recognition of prior learning and/or current competencies</li> <li>• duration of study and requirements for successful completion</li> <li>• the credit value and level on a qualifications framework</li> </ul>

## 8. Monitoring and Evaluation

Quality assurance is a new field and will continue to grow, as new aspects are considered from new perspectives, as well as a result of a fast-changing world. The Pacific must be sensitive to new forms of education delivery and programmes, and qualifications, including those delivered online. In spite of their sizes, economies and contexts, Pacific states must align their quality assurance developments with international standards and expectations. The PQAF will foster regional collaboration amongst Pacific countries to achieve quality education and training for its people. The PQAF will be subject to regular review to ensure continuing relevance and currency.

---

<sup>4</sup> An individual course is a component of a qualification. Course is synonymous with unit, paper, module or other unit of study.

## SECTION II: QUALITY STANDARDS AND GUIDELINES

---

The Quality Standard and Guidelines (QSG) provide details of the Pacific Quality Assurance Framework (PQAF). The QSG recognises the wide range in types, forms and contexts under which education and training services are organised and delivered in the Pacific. The challenges in securing good quality resources and qualified personnel to deliver courses and programmes are real. However, the cultivation and maintenance of a ‘culture of quality’ is primarily the remit of institutions or providers of education and training services. Accreditation agencies are gate-keepers of quality; they monitor and support institutions through a very professional and mentoring relationship to ensure that international standards and stakeholders’ expectations continue to be met. In the non-formal sector, it is also important to recognise the role that traditional structures and apprenticeships have contributed to the acquisition and maintenance of traditional knowledge and skills in our Pacific communities.

The quality standards and guidelines will be implemented using a ‘fit for purpose’ and a ‘fitness of purpose’ approach. Regardless of the type of programme — academic, theological, technical and vocational, or enduring traditional structures — the PQAF will provide a common ground for understanding and implementing good quality teaching and learning. The expected outcome is the establishment and continuous improvement of standards of Pacific education and training that will enhance the international recognition<sup>5</sup> of Pacific qualifications and standards.

The quality standard and guidelines cover the following three key areas:

- accrediting agencies (pages 9–11);
- institutions and providers (pages 12–16); and
- programmes and their components (pages 17–19).

### Section 2A: Framework for Quality Assurance of Accreditation Agencies

This brief document provides standards and guidelines that will guide EQAP’s recognition of an Accrediting Agency as a *standard setting body*. EQAP *standard for recognition* is for a period of five years, and will then be reviewed. EQAP recognition is an exercise which will confirm that accrediting agencies have:

- the basic structural and operational requirements for establishment and operations;
- the necessary policies, procedures and resources to effectively function as a standard setting body;
- clear mechanisms for support of its education and training sector and maintain accountability to its stakeholders

---

<sup>5</sup> “international recognition” here includes *mutual recognition arrangements*

- strategies to ensure clarity, transparency and consistency in its quality assurance processes; and
- encourage the development and continued enhancement of a culture of quality.

## **Standards and Guidelines for Quality Assurance of Accrediting Agencies**

### **Standard A.1: Establishment and Recognition**

The agency is formally established and recognised as a quality assurance agency for education and training.

#### ***Guidelines:***

- 1.1 The agency is established by virtue of a legal or equivalent instrument which specifies its functions and powers.
- 1.2 The purpose of the agency is to set standards for education and training provision and programmes.
- 1.3 The organization has vision, mission, goals and objectives that are consistent with its purpose.

### **Standard A.2: Governance, Management and Structure**

The agency has suitable governance, management and organizational structures for the sound performance of its quality assurance functions.

#### ***Guidelines:***

- 2.1 The agency has a governing body whose members are suitably qualified, experienced and represents the various sectors of education and training in the country.
- 2.2 The governing body has a strategic role in providing directions on effective management of its operations.
- 2.3 The members of the management team are appropriately qualified and experienced.
- 2.4 There is a well-defined organizational structure which reflects the nature of positions and personnel required to carry out the functions of the agency.

### **Standard A.3: Independence and Autonomy**

The agency's evaluations and decisions are based on accurate and authentic evidence and are not influenced by external parties.

#### ***Guidelines:***

- 3.1 The agency's decisions on quality assurance processes are fair, consistent and based on pre-defined and publicized criteria.

- 3.2 The performance of the agency's operations and functions are undertaken without discrimination and/or external influence.
- 3.3 The agency has in place mechanisms to manage conflicts-of-interest in the work of its governing body, management and staff.

#### **Standard A.4: External quality assurance criteria and processes for HEIs**

The agency has well defined and clearly documented processes and criteria for quality assurance of institutions and their programmes.

##### ***Guidelines:***

- 4.1 The agency's quality assurance strategies incorporate international guidelines.
- 4.2 The quality assurance policies, procedures, guidelines and requirements are pre-defined and publicly available.
- 4.3 There is evidence of stakeholder involvement in the development of standards and criteria for quality assurance.
- 4.4 The quality assurance reports prepared by the agency are accessible to stakeholders.

#### **Standard A.5: Internal quality assurance system**

The agency has in place processes for internal quality assurance to enhance the quality and integrity of its operations.

##### ***Guidelines:***

- 5.1 The agency's policies and procedures on internal quality assurance demonstrate its accountability to its stakeholders and are publically available.
- 5.2 The agency demonstrates commitment to its internal quality assurance by:
  - a) having an internal quality management system that guide its operations and ensures all persons involved in its operations are competent, act professionally and ethically;
  - b) protecting against intolerance and discrimination of any kind;
  - c) conducting regular self-reviews by adequately qualified and experienced personnel;
  - d) making accessible reports on its quality assurance to the stakeholders; and
  - e) ensuring the production of its annual and audited financial reports on a regular basis.
- 5.3 The agency is affiliated to and collaborates with regional and international quality assurance agencies and networks.

## **Standard A.6: Resources**

The agency is adequately resourced to effectively function as an external quality assurance organization.

### ***Guidelines:***

- 6.1 The agency has an adequate level of physical, financial and human resources to carry out its functions and responsibilities
- 6.2 The agency has adequate staff for the conduct of its functions.
- 6.3 The agency has a pool of qualified and trained assessors and auditors.
- 6.4 The agency has strategies and provisions for professional development and training of its permanent and temporary staff and experts.

## **Standard A.7: Representation and Appeals**

There are equitable provisions for institutions to seek review of decisions made by the agency on quality assurance processes.

### ***Guidelines:***

- 7.1 There are clearly defined provisions for institutions to seek review of the decisions made by the agency.
- 7.2 The policies and procedures on review are fair and publicly available.
- 7.3 There is an independent, transparent and fair review process.

## **Standard A.8: Reporting**

The agency informs and responds to the public; demonstrates accountability by reporting openly on review decisions; and on its own performance.

### ***Guidelines:***

The agency demonstrates this by ensuring that reports:

- 8.1 are clear, factual, detailed and supported by authentic evidence; and
- 8.2 contain decisions, recommendations, actions required for improvement and their timeframe and reasons.

## **Standard A.9: Information Management**

The agency collects, manages and analyses data and uses information to guide decision making.

### ***Guidelines:***

- 9.1 The agency systematically maintains records of official data, decisions and outcomes of its processes.

- 9.2 Data is analysed and results are used in the overall development of the education and training sector.

## **Section 2B: Framework for Quality Assurance of Institutions**

Institutions are the key agents in the development of any nation's human resource. At the core of their design and delivery of education and training services is the cultivation and maintenance of a 'culture of quality'. Such a culture should permeate all levels — from their governance and management, to faculty and support personnel — and all systems, processes, programmes and programme components. Communication and the monitoring of implementation of policies and procedures that guarantee quality in all aspects of an institution's key functions are critical.

### ***Quality Institutions:***

With the exponential growth of education and training institutions, , quality assurance is critical in instilling stakeholder confidence that institutions will in fact deliver quality outcomes in a nation's human resource development strategy.. The assurance of quality would:

- a) Ensure the setting and maintenance of quality standards by institutions.
- b) Provide stakeholder confidence on the Institutions capability to deliver quality outcomes.
- c) Make institutions accountable to their stakeholders for the resources that they use.
- d) Encourage the Institution to maintain high standards in its management and administrative operations.

### ***Standards for Quality Assurance of Institutions***

The Pacific Quality Assurance Framework (PQAF) contains 13 standards for building the capability of institutions to deliver sound education and training services. Through application of the standards, institutions will demonstrate a commitment to continuously improving the quality of their educational provisions and able to maintain it at expected levels. The Standards will assist an institution in:

- a) Improving operational transparency and accountability to its stakeholders
- b) Enhancing its reputation as the preferred destination for quality education and training.
- c) Continuous self-reflection and analysis of its policies and procedures for continuous improvement.

### ***Objectives:***

The objectives of the quality standards are:

- a) Encourage the institution to meet the expected quality.
- b) Provide guidance to the institution to develop a *culture of quality*.

- c) Ensure all staff contribute to the enhancement of quality in their areas of work.
- d) Commit the institution to continuous improvement.

## **Standards and Guidelines for Quality Assurance of Institutions**

### **Standard B.1: Establishment, Organizational Focus and Structure**

*The institution's focus is the delivery of quality education and training and its organizational structure is suitable for its purposes.*

#### **Guidelines:**

1. The institution is constituted and legally recognized under a law of the country.
2. The institution has clearly stated vision, mission, goals and functions which:
  - a) reflect a desire to develop, sustain and improve the quality of education and training.
  - b) guide decision-making in planning, resource allocation and programme development and delivery.
3. There is a well-defined and clear organizational structure that reflects the provision of education and training, and administrative, financial and support services.
4. The key responsibilities of distinct positions are specified.

### **Standard B.2: Governance and Management**

*The institution has appropriate governance, management structures and personnel for the sound conduct of education and training services.*

#### **Guidelines:**

1. There is an experienced or qualified governing body for all of the institution's activities.
2. The Institution has appropriate management structures and personnel who are appropriately qualified, experienced and that are responsible and accountable for the decisions they make.

### **Standard B.3: Programme Development and Review**

*The institution has a quality strategy for the development, approval, evaluation and periodic review of its programmes.*

#### **Guidelines:**

1. There are documented strategies and guidelines for the development, approval, evaluation and review of the education and training programmes.

2. There is adequate evidence of relevant stakeholder support (industrial, professional, technical, academic and community) in the design, development and review of programmes.
3. There are provisions to ensure that the outcomes of programme monitoring and review processes are utilized for continuous improvement.

#### **Standard B.4: Learning and Teaching**

*The Institution creates a conducive learning environment and provides adequate and relevant information that enables learners to be successful in their studies.*

##### **Guidelines:**

1. The institution establishes and maintains a sound, stable and well organized learning environment.
2. The institution effectively integrates Information Communications Technology to enhance learning and teaching/training.
3. Varied and innovative teaching strategies including practical and field work are utilized in the delivery of the institution's programmes.
4. There is an effective feedback system for evaluating the quality of teaching and training delivery in all modes and sites.

#### **Standard B.5: Financial Stability**

*The institution has the financial capacity and mechanisms to sustain the quality delivery of education, training and assessment services.*

##### **Guidelines:**

1. The institution has the financial capacity to sustain its operations.
2. The institution conducts and reports financial operations in accordance with sound financial management practices.

#### **Standard B.6: Staffing**

*The institution recruits, manages, evaluates and trains staff to ensure the sound delivery and assessment of its education and training services.*

##### **Guidelines:**

1. The institution is appropriately staffed to achieve its mission and goals.
2. There are policies and processes on: selection, recruitment, training, evaluation, appraisal, promotion and discipline of staff.
3. The institution has systems for dissemination of all relevant information to its staff to ensure their commitment to its vision, mission and values.

## **Standard B.7: Learner information and support**

*Adequate and relevant information and support services are provided to learners.*

### **Guidelines:**

The institution:

1. makes available current and accurate information about itself, all its programmes and other services it offers for learners and stakeholders to make informed decisions;
2. has policies and procedures on selection and admission of learners and provision of learner support; and
3. makes available information on: admission criteria and requirements, programme outlines, assessment and completion requirements.

## **Standard B.8: Physical and Learning Resources**

*The institution has adequate and appropriate physical and learning resources to support delivery of its programmes.*

### **Guidelines:**

1. The institution has adequate and appropriate physical and learning resources to deliver all its programmes.
2. There are mechanisms for the periodic review and acquisition of resources.

## **Standard B.9: Assessment and Moderation**

*The institution has fair, valid, transparent and effective systems and criteria for assessing learners against the programme outcomes.*

### **Guidelines:**

1. The Institution's regulations and policies on assessment and moderation (internal and external) are explicit, transparent, fair and have provisions on: re-assessments, special assessments, reporting assessment outcomes, appealing assessment decisions, progression and completion, and unacceptable practices on assessment.
2. There are mechanisms to ensure that the:
  - a) volume, timing, weighting and nature of assessments are appropriate and aligned to learning outcomes/performance criteria.;
  - b) requirements for assessment and marking criteria is made accessible to students; and
  - c) feedback on assessment is constructive and communicated to learners promptly.

## **Standard B.10: Reporting learner achievement**

*The institution adequately and appropriately reports learner achievement.*

### **Guidelines:**

The institution's policies and procedures for reporting learner achievement include:

1. nature of assessment outcomes reported with the Institution's Grading Scale;
2. information about credit aggregates and transfer processes;
3. conditions for issuance of qualifications and results upon completion or partial completion of programmes; and
4. displaying the logo of the accrediting agency on its qualifications.

## **Standard B.11: Research**

*The institution has a research culture to meet the requirements of degree and post-graduate programmes and qualifications.*

### **Guidelines:**

The institution has established structures, policies and procedures on research (where appropriate) to:

1. meet education and training requirements for degree and post-graduate programmes;
2. encourage staff to dedicate time and resources to research that informs the development, delivery, assessment and review of their programmes; and
3. facilitate the development of an Institutional research culture.

## **Standard B.12: Information management**

*The institution collects, analyses and uses relevant information for the effective management of its programmes and other activities.*

### **Guidelines:**

1. The institution has mechanisms for the collection and management of data on: learners' details, assessment results/outcomes, course completion and progression rates, employability of graduates, evaluation of programmes and learning resources.
2. There are procedures on: confidentiality of information on learners, students' access to their data, and reporting learner achievement to stakeholders.
3. Data is analysed and effectively utilized for the continuous improvement of the institution and its programmes.

## **Standard B.13: Appeals, Grievances and Complaints Resolution**

*The institution has mechanisms for handling academic, general discipline and complaints in a fair, accessible and timely manner.*

### **Guidelines:**

1. There are clearly defined provisions for raising grievances and seeking review of the decisions made by the institution.
2. The policies and procedures on review are fair and publicly available.
3. There is an independent, transparent and fair review process.

## **Section 2C: Framework for Quality Assurance of Programmes and Components**

An institution's programmes reflect its vision, mission and how it achieves its educational goals and objectives. The quality assurance strategy of an institution must include measures for assuring the quality of its programmes and related processes. The rigorous application of the quality strategy in the design, development, delivery and assessment of a programme instils confidence in its stakeholders, facilitates the registration of an institution's qualifications onto the relevant qualifications framework, and enhances international recognition.

Components of programmes may either be courses, units, papers or modules.

### **Quality of Programmes:**

Quality assurance of a programme is essential in: confirming institutional capacity in developing, delivering and assessing programmes; protecting students from poor quality programmes; increasing the confidence of the public in the institution's programmes and qualifications; facilitating articulation between programmes of different education and training sectors and institutions; and addressing quality-related issues pertaining to the adaptability, responsiveness and innovativeness of programmes in the production of new knowledge and skills.

The process for the quality assurance of a programme serves to find answers to the following questions:

- a) How well does the programme design lead to the achievement of the qualification outcomes, stakeholder demands and strategic purpose?
- b) How well do the programme delivery methods and assessment match the identified needs of learners and the strategic purpose of the qualification?
- c) To what extent will the programme enable graduates to pursue intended educational, employment, community and/or cultural outcomes?

## Standards for Quality Assurance of Programmes

The Pacific Quality Assurance Framework (PQAF) contains the minimum quality standards based on the following principles:

- a) Academic and training programmes which meet the quality requirements should be offered.
- b) The primary responsibility for programme quality rests with institutions and they should establish and sustain effective mechanisms that facilitate programme quality and yield reliable information for self-evaluation, external evaluation, and public reporting.

### Standards and Guidelines for Quality Assurance of Programmes

#### Standard C.1: Qualification Title

*The title of the qualification is appropriate and complies with the definitions for qualification title and level.*

##### **Guidelines:**

The title:

- a) is consistent with the purpose, content, type and level of the qualification;
- b) indicates the subject area of the programme; and
- c) complies with the level descriptors and qualification definitions.

#### Standard C.2: Purpose Statement

*The purpose statement appropriately identifies the need for the qualification.*

##### **Guideline:**

The purpose statement clearly identifies why the programme was designed and what need it was to address.

#### Standard C.3: Outcome Statement

*The outcome statement for the qualification reflects the achievement of the stated purpose and specific knowledge, skills, understanding and attitudes acquired by learners.*

##### **Guidelines:**

The institution demonstrates this by ensuring the outcome statement:

1. reflects the level assigned to the qualification and describes what knowledge and skills the learner has achieved;
2. is aligned to a unique level of the framework and its level descriptors and:

- a) improves understanding about the qualification in describing achievement;
- b) allows for meaningful comparison with other qualifications; and
- c) enhances articulation and provide pathways to other qualifications or employment opportunities.

#### **Standard C.4: Entry requirements**

*Entry requirements are reasonable for the level and complexity of the qualification.*

##### **Guidelines:**

The institution demonstrates this by ensuring that:

1. Entry and selection criteria and requirements (including co-requisite and/or pre-requisite requirements, mature entry) are fair, reasonable and clearly stated;
2. There are provisions for cross credits, credit transfer and recognition of prior learning; and
3. Entry restrictions (if any) and their reasons are clearly stated and non-discriminatory.

#### **Standard C.5: Components of the programme**

*Programme components are relevant, appropriate and collectively contribute to achieving the programme outcomes. (refer to Section 2D)*

##### **Guidelines:**

The institution demonstrates this by ensuring that the:

1. components are clearly defined and appropriate for the level, type, credit value and outcomes of the qualification;
2. descriptor for each component states the following:
  - a) title;
  - b) purpose;
  - c) learning outcomes and/or defined competencies;
  - d) co- and pre-requisites;
  - e) delivery modalities, including work based components;
  - f) assessment methodologies;
  - g) duration;
  - h) completion rules;
  - i) credit value;
  - j) where possible, the level on a qualifications framework.

## **Standard C.6: Qualification level**

*The qualification is assigned an appropriate level on the relevant qualifications framework which reflects the relationship between its outcome statement and level descriptors of the framework.*

### **Guidelines:**

The institution demonstrates this by ensuring that

1. the qualification level complies with the “ relevant qualification definitions and credit profile; and
2. is appropriate in terms of the complexity of the learning outcomes and the volume of learning.

## **Standard C.7: Credit profile**

*The qualification has a credit value indicative of the volume of learning in totality and its components.*

### **Guidelines:**

The institution demonstrates this by ensuring that the:

1. credits for the components at various levels are shown;
2. credit profile is in compliance with the definition of the qualification type; and
3. total credit is the aggregate of the credits of its components stated in whole numbers only.

## **Standard C.8: Completion Rules**

*The requirements for successful completion are clearly stated and consistent with the qualification outcome statement and qualification type descriptors.*

### **Guidelines:**

The institution demonstrates this by:

1. specifying the requirements for programme completion, including:
  - a) maximum and minimum periods of time (if any);
  - b) programme structure and the progression through the programme;
2. demonstrating how the learner achievement for individual components will be reflected in the overall award of the qualification; and
3. specifying the grading system for the complete qualification.

## **Standard C.9: Programme Design, Approval and Review**

*The institution has a quality strategy for the design, approval and review of its programmes.*

### **Guidelines:**

The strategies and guidelines on programme design, development and review ensure that:

1. The components and learning outcomes constitute a coherent programme whose purpose meets the outcome of the qualification;
2. The programme and its components meet the needs of stakeholders (industrial, professional, technical, academic and community).
3. Where necessary, core courses and electives are clearly stated; and
4. The Institution has a strategy for continuous review of the programme

## **Standard C.10: Assessment and Moderation**

*Assessment strategies are directly related to learning outcomes being assessed and information on assessment clearly states how the results of assessment tasks are weighted and combined.*

### **Guidelines:**

The assessment strategy clearly states:

1. the assessment tasks, requirements and activities to be completed;
2. opportunities for re-assessment, where necessary;
3. assessment moderation (internal and/or external) arrangements where the institution has multiple campuses or other similar arrangements;
4. work, practical and field-based assessment tasks that are integrated into the total programme and component assessment, where relevant; and
5. the grading system for recognition of various levels of performance.

## **Section 2D: Standards and Guidelines for Quality Assurance of Programme Components**

### **Standard D.1: Component Title**

*The component title is consistent with the field of study and indicates how the component relates to other components and the complete qualification.*

### **Guidelines:**

1. The component title:
  - (a) is defined and clearly states the field (and sub-field) of study; and

- (b) provides information on the depth and complexity of the relevant field and sub- field.
2. The component code conforms to the convention for institutional and programme coding and is consistent with the complete qualification.

#### **Standard D.2: Purpose**

*The purpose of the component reflects its relation to the field of study and to the whole qualification.*

##### **Guidelines:**

The statement of purpose:

1. indicates relevance of the component to the whole qualification; and
2. relates to the purpose of the qualification and field of study.

#### **Standard D.3: Learning Outcomes**

*The learning outcomes describe the specific knowledge, skills, understanding and attitudes a learner will achieve through each component of the programme.*

##### **Guidelines:**

The learning outcomes are:

1. specified for each component;
2. measurable and achievable;
3. presented in a logical, progressive way demonstrating learners' development of knowledge, skills and attitudes; and
4. related to the respective framework level; complexity of the field of study and qualification outcome statement.

#### **Standard D.4: Assessment**

*Assessment methodology is fair, valid, consistent and appropriate to the learning outcomes and delivery modes.*

##### **Guidelines:**

1. There is an assessment plan containing assessment strategies and tools which cover all learning outcomes, are appropriate and scheduled sporadically.
2. The policies on assessment have provisions for:
  - a) providing feedback to learners promptly;
  - b) conduct of pre and post-assessment meetings with learners;
  - c) re-assessments and special assessments; and

- d) dealing with impaired performance, where learners cannot complete an assessment because of circumstances beyond their control.
3. The assessment strategy for each component states the:
- a) assessment tasks, requirements and activities to be completed;
  - b) opportunities for re-assessment and appeals;
  - c) assessment moderation arrangement;
  - d) integration of work-based assessment tasks; and
  - e) grading system for recognition of various levels of performance.

#### **Standard D.5: Entry Requirements**

*Entry requirements, including any co-requisite, pre-requisite and mature age entry requirements are clearly stated.*

##### **Guidelines:**

The entry requirements:

1. are clearly stated, including the pre-requisites and/or co-requisites;
2. where necessary, define provision for non-formal learning and recognition of prior learning.

#### **Standard D.6: Completion Rules**

*Requirements for the successful completion of the component are clearly stated.*

##### **Guidelines:**

The requirements for course/component completion are clearly stated including:

1. how the results of the various assessment types are recorded and combined, if necessary; and
2. how course assessment relates to the grading system for the complete qualification.

#### **Standard D.7: Credit Value**

*The credit value of the component is clearly stated and relates to the complete qualification.*

##### **Guidelines:**

The credit value of the component:

1. is correctly estimated, noting the interplay between the time, learner ability and the learning outcome;
2. provides information on the number of lectures, tutorials and any practical requirements per week;

3. accounts for the credit values of the learning outcomes of the component;
4. is calculated using any one of the ratios:
  - a) one year of full-time study is approximately equivalent to 120 credits; OR
  - b) one credit is approximately equivalent to ten notional hours of learning;
5. is denoted by a whole number.

#### **Standard D.8: Level of Component**

*The level of the component on a qualifications framework is consistent with its learning outcomes and how it relates to other components that make up the complete qualification.*

**Guideline:**

The component has a level on the qualifications framework which is consistent with the descriptor of the respective level.

#### **Standard D.9: Component developer**

*Information on the developer of the component is available.*

**Guideline:**

Wherever possible, the component developer is identified.

#### **Standard D.10: Review Date**

*The review date of the component is appropriate and pre-defined.*

**Guideline:**

The review date of the component is pre-defined and appropriate to the subject area of the qualification.

## Glossary

---

Accreditation	The process of assessment and official approval of a qualification or component(s) of a qualification, usually for a particular period of time, as being able to meet particular requirements defined by an accrediting agency that functions within a quality assurance system.
Accrediting agency	Accrediting agencies are those entities that manage programme accreditation under national legislation, e.g. national qualifications agencies, official review boards or other nationally approved bodies or agencies with the remit to accredit qualifications. All accrediting agencies are subject to ongoing monitoring and periodic review of their performance against standards.
Appeal	A formal request from an organisation requesting a change in or confirmation of a decision if the organisation believes that it was denied a fair decision.
Assessment	The process of collecting and evaluating evidence to establish the level of an individual's achievement or performance.
Competency	The ability to use knowledge and/or skills in work or study situations and in professional and/or personal development.
Components of a qualification	Components of a qualification are also known as subjects, units, modules, courses, papers, competencies. This is the smallest part of a qualification or programme that can be separately assessed and certified.
Learning outcomes	Learning outcomes are statements of what a learner can be expected to know, understand and/or do as a result of a learning experience. Learning outcomes provide a clear statement of achievement.
Mission	A formal document that states the objectives of an organisation or education institution or a national qualifications agency.
Pacific Qualifications Framework	<p>The Pacific Qualifications Framework (PQF) is a reference for linking each Pacific Island's national qualifications framework and/or individual qualifications. It functions as a translation device for Pacific Island qualifications:</p> <ul style="list-style-type: none"> <li>• enable coherent understanding of the various national Pacific Island frameworks, qualifications, and components of qualifications;</li> <li>• to facilitate credit transfer;</li> <li>• to promote workers' and learners' mobility between countries and facilitate their lifelong learning.</li> </ul>
Pacific Register of Qualifications and Standards	<p>A regional web-based database of quality assured:</p> <ul style="list-style-type: none"> <li>• qualifications (and components of qualifications);</li> <li>• Pacific traditional knowledge and indigenous skills in traditional guilds;</li> <li>• professional licensing and occupational standards;</li> <li>• regional standards in education.</li> </ul> <p>The PRQS provides a convenient, comprehensive public access point for learners, workers and providers across the Pacific region.</p>
Programme	A structured learning programme may include a complete qualification, or a cluster of components of a qualification or a component of a qualification.

Provider	A person or an organisation that plans and delivers education/training and assessment services that lead to the award of qualifications or components of qualifications.
Qualification	Qualifications are a meaningful and coherent cluster of learning outcomes that meet the specified qualification type descriptors, are capable of being assessed and are subject to external quality assurance processes.
Qualifications framework	A qualifications framework is a coherent structure that establishes clear relationships among all quality assured qualifications offered within an education and training system. A qualifications framework facilitates the pursuit of lifelong learning and provides a structure for establishing national and international equivalence and comparability of qualifications.
Quality	<p>Quality is the: 'degree to which a set of inherent characteristics fulfils requirements' (AS/NZS ISO 9000:2006: Quality management systems— Fundamentals and vocabulary, p. 7).</p> <p>Quality is a complex, multi-dimensional and often subjective concept as it is most often determined by different stakeholders under usually very different circumstances. In assuring the quality of education and training activities, 'quality' is applied and understood to mean any of 'excellence', 'fit for purpose', 'continuous improvement', 'achieving thresholds' and 'enhancement'. In this context, all of these meanings are assumed and will predominantly be both 'fit for purpose' and 'continuous improvement'.</p>
Quality assurance	<p>Quality assurance is a component of quality management and is 'focused on providing confidence that quality requirements will be fulfilled'<sup>1</sup></p> <p>In relation to education and training services, quality assurance refers to planned and systematic processes that provide confidence in the design, delivery and award of qualifications within an education and training system. Quality assurance ensures that stakeholders' interests and investment in any accredited programmes are protected.</p>
Quality audit	A systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled <sup>2</sup>
Quality management system	<p>A quality management system aims 'to direct and control an organisation with regard to quality' (AS/NZS ISO 9000:2006: Quality management systems — Fundamentals and vocabulary, p. 8).</p> <p>An organisation should establish, document, implement and maintain a quality management system and continually improve its effectiveness. The quality management system documentation could include:</p> <p>documented statements of a quality policy and quality objectives;</p> <ul style="list-style-type: none"> <li>• a quality manual;</li> <li>• documented procedures and records appropriate to key functions;</li> <li>• documents, including records, determined by the organisation to be necessary to ensure the effective planning, operation and control of its processes (adapted from AS/NZS ISO 9001: 2008, Quality management systems – Requirements, p. 2).</li> </ul>
Recognition of prior learning	Recognition of prior learning is a process that involves assessment of an individual's relevant prior learning (including formal, informal and non- formal learning) against the learning outcomes in order to determine the credit outcomes. Also known as 'assessment of prior learning' or 'recognition of current competencies'.

Self-assessment	Self-assessment is the process of critically reviewing the quality of one's own performance and provision against a set of standards or objectives.
Standards	Standards are levels of quality/benchmarks that are accepted as the norm against which actual performance or attainments are judged.

## Bibliography

---

Asia Pacific Quality Network. *Quality Criteria*. < <http://www.apqn.org> >. Viewed 6 August 2012.

Asia Pacific Quality Network. 2007. *Chiba Principles*.

<[http://www.apqn.org/files/virtual\\_library/other\\_reports/higher\\_education\\_quality\\_assurance\\_principles\\_for\\_the\\_asia\\_pacific\\_region\\_chiba\\_principles.pdf](http://www.apqn.org/files/virtual_library/other_reports/higher_education_quality_assurance_principles_for_the_asia_pacific_region_chiba_principles.pdf)> . Viewed 6 August 2012.

Asia Pacific Quality Network. 2008. *The Brisbane Communiqué*.

<[http://www.apqn.org/files/virtual\\_library/other\\_reports/qa\\_in\\_higher\\_education\\_survey\\_report\\_07-04-2008.pdf](http://www.apqn.org/files/virtual_library/other_reports/qa_in_higher_education_survey_report_07-04-2008.pdf)> . Viewed 6 August 2012.

Commission for Higher Education,(2008), Handbook for Processes on Quality Assurance in Higher Education in Kenya, [online],

[http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CB0QFjAA&url=http%3A%2F%2Fwww.cue.or.ke%2Fdownloads%2Fcategory%2F1-general%3Fdownload%3D38%3Ahandbook-on-processes-for-quality-assurance-in-higher-education-in-kenya&ei=EY\\_FVNLrD8778QWA3IK4Cw&usg=AFQjCNGMM3kb-pOEzt9IPTQWLmtqDCTxGw&bvm=bv.84349003,d.dGc](http://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0CB0QFjAA&url=http%3A%2F%2Fwww.cue.or.ke%2Fdownloads%2Fcategory%2F1-general%3Fdownload%3D38%3Ahandbook-on-processes-for-quality-assurance-in-higher-education-in-kenya&ei=EY_FVNLrD8778QWA3IK4Cw&usg=AFQjCNGMM3kb-pOEzt9IPTQWLmtqDCTxGw&bvm=bv.84349003,d.dGc): (viewed 15 May 2015)

Fiji Higher Education Commission, 2011, Assessment of Applications for Registration of Higher Education institutions – Assessors’ Guide

Fiji Higher Education Commission, 2012, Evaluation of Programmes and Qualifications for Accreditation - Evaluator’s Guide

Hawkins, J. 2012. *Internal Auditors’ Course Manual*. Asia Pacific Maritime Institute. INQAAHE. *Guidelines for good practice in quality assurance*.

< <http://www.inqaahe.org/main/professional-development/guidelines-of-good-practice-51> >. Viewed 6 August 2012.

Keevy, J. 2011. *The recognition of qualifications across borders: the contribution of regional qualifications frameworks*. South Africa: SAQA.

Secretariat of the Pacific Board for Educational Assessment. 2010. *The Pacific Qualifications*

*Framework*. Suva: Secretariat of the Pacific Community.

Secretariat of the Pacific Board for Educational Assessment. 2010. *The PRQS Quality Assurance Standard*. Suva: Secretariat of the Pacific Community.

SPC and USP, 2012. *Regional TVET Framework*. Presented at the Forum Education Ministers’ Meeting. Port Vila, Vanuatu.

Standards and guidelines for quality assurance in the European Higher Education Area – Draft Initial Proposal, (2013),  
[http://www.radavs.cz/prilohy/14p9h%29\\_R\\_Draft%20ESG%20for%20BFUG%20inputs\\_gavalcova\\_PROM.pdf](http://www.radavs.cz/prilohy/14p9h%29_R_Draft%20ESG%20for%20BFUG%20inputs_gavalcova_PROM.pdf): (accessed 4 June 2105)

Standards and Guidelines for Quality Assurance in the European Higher Education Area, (2009), [http://www.enqa.eu/wp-content/uploads/2013/06/ESG\\_3edition-2.pdf](http://www.enqa.eu/wp-content/uploads/2013/06/ESG_3edition-2.pdf): (accessed 12 June 2015)

Stella, A., *INQAAHE Project on Small States - Situational Analysis on Quality Assurance in Higher Education in Small States*. <  
[http://www.inqaah.org/admin/files/assets/subsites/1/documenten/1287472999\\_situational-analysis-on-qa-in-small-states-final-full-version.pdf](http://www.inqaah.org/admin/files/assets/subsites/1/documenten/1287472999_situational-analysis-on-qa-in-small-states-final-full-version.pdf)>. Viewed 6 August 2012.

The Expectations and Indicators of sound practice, [online],  
<http://www.qaa.ac.uk/en/Publications/Documents/Quality-Code-Expectations-Indicators-of-sound-practice.p>: (accessed 18 June 2015)

## Appendices

---

### *Appendix 1: Application for Accreditation of Institution Form*

## APPLICATION FOR ACCREDITATION OF INSTITUTION [FORM IA-01]

<b>Name of Institution</b>	
----------------------------	--

---

---

### APPLICATION CHECKLIST

- Completed Application form for Accreditation
  - Certified copy of Registration Certificate
  - Documentation on Vision, Mission and Goals
  - Organizational chart and explanation of relationships
  - Documentation on Responsibilities of Key Positions
  - Strategic Plan
  - Terms of Reference of Governing Body
  - Procedures on programme development, approval, evaluation and review
  - Financial Viability Report
  - Policies and procedures on staff matters
  - Policy and procedures on learning and teaching
  - Procedures on selection and admission
  - Health and Safety Certification
  - Resource Acquisition Plan
  - Regulations and policy on assessment
  - Learner achievement report
  - Policy and procedures on research
  - Policies and procedures on grievances and refund of fees
- 
- 

### FOR OFFICIAL USE

Application Number: \_\_\_\_\_ Receiving Officer: \_\_\_\_\_  
Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/20\_\_

Comments:

---

---

---

## A. DETAILS OF INSTITUTION

### A.1 Institution

Name of Institution	
Business Name(s)	
Postal Address	
Business Address	
Contact Numbers	Tel:                      Fax:
Web Address (if any)	
Email Address (institutional)	

### A.2 Type of Institution

Indicate the type of institution by placing a tick beside the descriptor.

Type of Institution	✓ (Tick)	Type of Institution	✓ (Tick)
University		School of Hairdressing & Beauty Therapy	
Institute of Technology		Sports Academy	
School of Medicine		Care giving School	
School of Nursing		School of Performing Arts	
Teacher Training Institute		Language Institution	
School of Agriculture		Theological Institution	
Institute of Computing		School of Aviation	
Police Academy			
Army Training School		<b>Others (Please specify)</b>	
Vocational Institution			

### A.3 Details of Authorized Officer:

(The authorized officer is a senior manager/head of the institution)

Name	
Position	
Postal Address	
Contact Numbers	Tel:                                      Fax: Mobile:
Email Address	

**A.4 Authorized Contact Person (if different from A3 above):**

Name	
Position	
Postal Address	
Contact Numbers	Tel: _____ Fax: _____ Mobile: _____
Email Address	

**A.5 Education and /or Training Locations:**

Indicate below the details of all locations where the institution plans to deliver or is delivering programmes. Details of agents are to be shown if the institution intends to deliver or is delivering programmes through an agency arrangement.

<b>Location No. 1</b>	
Name	
Business Address (including Street Address)	
Contact Numbers	Tel. No. _____ Fax No. _____
Agency Arrangement (Check box)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Name of Agent	
Programme(s) to be offered at this site	

<b>Location No. 2</b>	
Name	
Business Address (including Street Address)	
Contact Numbers	Tel. No. _____ Fax No. _____
Agency Arrangement (Check box)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Name of Agent	
Programme(s) to be offered at this site	

## B. CRITERIA FOR ACCREDITATION

### B.1 Criteria 1 – Establishment, Organizational Focus and Structure

- 1.1 Describe clearly the instrument on the basis of which the institution has been legally established

--

*[Attach a copy of the certificate of registration and/or other documentation related to its establishment. **Name this attachment as: Annex 1-Certificate of Registration**]*

- 1.2 State the vision, mission and goals of the institution in the space below.

<b>Vision:</b>
<b>Mission:</b>
<b>Goals:</b>

*[Attach any documentation or material that articulates the vision, mission and goals of the institution. **Name this attachment as: Annex 2-Documentation on Vision, Mission and Goals**]*

- 1.3 Does the institution have an organizational structure that ensures that structures and arrangements are in place for the provision of education and training and management of all key aspects of an educational/training institution?

Yes  No

*[If yes, attach a copy of the organizational chart and an explanation of the relationships and reporting lines among key positions. **Name this attachment as: Annex 3-Organizational chart and explanation of relationships**]*

- 1.4 Are the responsibilities of the key positions distinct and specified?

Yes  No

*[If yes, attach documentation containing information on the responsibilities of the key positions shown on the organizational chart. **Name this attachment as: Annex 4-Documentation on Responsibilities of Key Positions**]*

- 1.5 Describe briefly the institution's history as an educational/training institution.


- 1.6 Does the institution have a strategic plan? If so, list its major outputs in the space below.


*[Attach a copy of the Strategic Plan. **Name this attachment as: Annex 5-Strategic Plan**]*

## B.2 Criteria 2 – Governance and Management

2.1 Does the institution have a legally constituted governing body (e.g. a board/council) to govern the institution and confer awards? (check box)

Yes  No

If **yes**, provide the following information about the governing body.

2.1.1 Name:

2.1.2 Names of members, their designations and highest academic qualifications

Title	Name (in full)	Designation	Highest Academic Qualification

*[Attach documentation containing information on the terms of reference of the governing body. Name this attachment as: **Annex 6-Terms of Reference of Governing Body**]*

2.2 Provide the following information about the Chief Executive Officer or head of the institution:

2.2.1 Name:

2.2.2 Designation:

2.2.3 Academic Qualifications:

Name of Qualification	Date Obtained	Institution Obtained From

2.3 Does the institution have a senior management team?

Yes  No

2.3.1 If **yes**, provide information about the members of the senior management team in the table below:

Title	Name (in full)	Position held	Academic Qualifications

2.4 Describe the arrangements for the corporate governance (finance and administration) of the institution.


2.5 Explain the arrangements (including structures and processes) for the academic governance of the institution.


**B.3 Criteria 3 – Programme Development and Review**

3.1 Outline the procedures for the development, approval, evaluation and review of the education and training programmes.


3.2 Is there stakeholder involvement (industrial, professional, technical, academic and community) in the design, development and review of programmes? If so, describe the nature of their input.


3.3 How do the outcomes of programme monitoring and review processes contribute to continuous improvement?


*[Attach a copy of the institution's policies and procedures on the development, approval, evaluation and review of the education and training programmes. **Name this attachment as: Annex 7-Procedures on programme development, approval, evaluation and review**]*

**B.4 Criteria 4 – Learning and Teaching**

4.1 Provide information on the programmes of study offered by the institution in the table below:

No.	Programme Name	Entrance Requirements	Minimum Duration	Delivery Mode

4.2 How does the institution make available information about itself, the programmes and other services it offers for learners and stakeholders?


4.3 How do the learning and teaching policies ensure the following?

4.3.1 Integration of Information Communications Technology to enhance learning and teaching/training?


4.3.2 Application of varied and innovative teaching strategies (including practical and field work) in the delivery of programmes?


4.3.3 Evaluation of the quality of teaching and training delivery in all modes and sites?


4.3.4 Administration, conduct and supervision of excursions, field work and practical attachments


*[Attach a copy of the institution's policies and procedures on learning and teaching. Name this attachment as: Annex 8-Policy and procedures on learning and teaching]*

**B.5 Criteria 5 - Financial Stability**

5.1 Does the institution have the financial capacity and viability to sustain quality education/training programmes and courses? If so, explain briefly in the space below.


*[Attach a copy of the institution's Business Plan including financial forecasts OR audited annual financial statements, where applicable. Name this attachment as: Annex 9-Financial Viability Report]*

**B.6 Criteria 6 - Staffing**

6.1 Is the institution appropriately staffed to ensure that it achieves its mission and goals?

Yes

No

6.2 Complete the table below to show the number employed in the 3 categories of staff.

Staff Category	No. of Permanent Staff	No. of Contract or Casual Staff
Management/Administration		
Academic/Teaching/Training		
Support		
<b>Total</b>		

6.3 Provide information on the teaching/training staff in the table below:

No.	Name of Staff	Academic/Training Qualification	Level(s) staff teaches

6.4 Does the institution have policies and processes on: selection, recruitment, training, evaluation, appraisal, promotion and discipline of staff?

Yes

No

If yes, briefly explain the provisions in the space below.


*[Attach documentation containing the policies and procedures on staff matters. Name this attachment as: Annex 10-Policies and procedures on staff matters]*

6.5 Explain how the institution disseminates information to staff to ensure their support for its vision, mission and values.


### ***B.7 Criteria 7 – Learner information and support***

7.1 How does the institution disseminate information on: admission criteria and requirements, programme outlines, assessment and completion requirements?


7.2 Briefly explain the processes and procedures on the selection and admission of learners.


*[Attach documentation containing processes and procedures on selection and admission of learners. Name this attachment as: Annex 11-Procedures on selection and admission]*

7.3 Are there any mechanisms for the provision of support to learners? If yes, please explain.


### ***B.8 Criteria 8 – Physical and Learning Resources***

8.1 Comment on the physical location, ambience and their appropriateness in creating an environment conducive to learning and teaching.


8.2 Provide information on the physical and learning resources in the tables given below:

8.2.1 Information on buildings: Classrooms, Libraries, Theatres, Laboratories etc.

Type of Facility	Number	Max. Seating Capacity
1. Lecture rooms		
2. Staff offices		
3. Lecture theatres		
4. Library		
5. Laboratories:[name types below]		
[a]		
[b]		
[c]		
6. Workshops: [name types below]		
7. Conference rooms		
8. Ablution provision		
9. Others (please specify)		

### 8.2.2 Information on staff and student facilities

No.	Type of Facility	Tick if available for use
1	Internet	
2	Photocopy	
3	Printing	
4	Telephone	
5	Others: [list below]	

8.3 Are the physical facilities compliant with the country's standards for health and safety?

Yes  No

*[If yes, attach documentary evidence. Name this attachment as: **Annex 12-Health and Safety Certification**]*

8.4 Does the institution have plans/process for the periodic review of existing resources and acquisition of new resources?

Yes  No

If **yes**, briefly describe the plan/process in the space below.


*[Attach a copy of the institution's plan for the review and acquisition of resources. Name this attachment as: **Annex 13-Resource Acquisition Plan**]*

**B.9 Criteria 9 – Assessment**

9.1 Explain briefly the provisions/procedures on the following:

(a) Re-assessments and special assessments


(b) Reporting assessment outcomes


(c) Appealing assessment decisions


(d) Progression and programme completion


(e) Unacceptable practices on assessment


9.2 How does the institution ensure that the:

(a) volume, timing, weighting and nature of assessments are appropriate?


(b) requirements for assessment and marking criteria is made accessible to students?


(c) feedback on assessment is constructive and communicated to learners promptly?


*[Attach a copy of the institution's regulations and policies on assessment. **Name this attachment as: Annex 14-Regulations and policy on assessment**]*

**B.10 Criteria 10 – Reporting Learner Achievement**

10.1 How does the institution report learner achievement? State the means of reporting, nature of information contained in reports and conditions of reporting?


*[Attach a sample of the learner achievement report. Name this attachment as: Annex 15-Learner achievement report]*

**B.11 Criteria 11 – Research**

11.1 Does the institution have provisions to promote research and free intellectual inquiry (if applicable)?

Yes  No   
If yes:

11.1.1 Provide information on the nature of support (systems, structures and funding) available for the conduct of research.


11.1.2 How do the findings of research inform the development, delivery and assessment of programmes?


*[Attach a copy of the institution’s policies and procedures on research. Name this attachment as: Annex 16-Policy and procedures on research]*

**B.12 Criteria 12 – Information Management**

12.1 What mechanisms are there for the collection and management of student data?


12.2 Comment on the nature of data collected and maintained by the institution.


12.3 Do learners have access to their data maintained by the institution? If yes, under what conditions (if any)?


12.4 Does the result of data analysis contribute towards continuous improvement of the institution and its programmes? If so, explain how.


**B.13 Criteria 13 – Appeals, Grievances and Complaints Resolution**

13.1 Does the institution have arrangements and/or policies and procedures for raising grievances and seeking review of the decisions made by it?

Yes  No

If yes describe the:

(a) provisions (nature of grievances that could be filed)


(b) procedures and requirements for filing grievances


(c) procedures for resolving grievances


13.2 Indicate what arrangements are there to safeguard the interests of students should there be a winding up of a programme(s) or the institution?


13.3 Explain the provisions on the refund of fees for withdrawing from courses, programmes and the institution.


*[Attach a copy of the institution's policy and procedures on grievances and refund of fees. Name this attachment as: **Annex 17-Policy and procedures on grievances and refund of fees**]*

=====

**DECLARATION**

I, \_\_\_\_\_, of \_\_\_\_\_,  
[full name of authorized officer] [name of the institution]

do solemnly and sincerely declare that the information contained on the preceding pages and attachments is true and correct, and I make it with the understanding and belief that incorrect information will invalidate the application and make it null and void.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

--

*Appendix 2: Application for Accreditation of Programme Form*

**APPLICATION FOR ACCREDITATION OF PROGRAMME – [FORM  
PA-01]**

<b>Name of Institution</b>	
<b>Accreditation No.</b>	
<b>Name of Programme</b>	

---

---

**APPLICATION CHECKLIST**

- Completed Application for Accreditation of Programme Form [PA-01]
- Joint Partnership Agreement
- Component Descriptors
- Documentation on stakeholder involvement
- Workplace Attachment Policy
- Assessment Plan
- Resource acquisition plan

---

---

**FOR OFFICIAL USE**

Application Number: \_\_\_\_\_ Receiving Officer:  
\_\_\_\_\_

**Comments:**

Signature: \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

## A. DETAILS OF INSTITUTION

### A.1 Institution

Name of Institution	
Accreditation Number	
Period of Accreditation	
Business Name(s)	
Postal Address	
Business Address	
Contact Numbers	Tel:                      Fax:
Web Address (if any)	
Email Address (institutional)	

### A.2 Authorized Contact Person

Name	
Position	
Postal Address	
Contact Numbers	Tel:                                      Fax: Mobile:
Email Address	

## B. PROGRAMME DETAILS

1. Provide the following information about the programme

<b>Name of Programme</b>	
<b>Subject Area</b>	
<b>Level</b>	
<b>Credit</b>	
<b>Minimum Duration</b>	

### **Credit Profile:**

*(Levels of learning outcomes and their respective credits)*

<b>Level</b>	<b>No. of Credits</b>
10	
9	
8	
7	
6	
5	
4	
3	
2	
1	
<b>Total</b>	

2. Is the programme offered in partnership with another organization(s)?

Yes

No

If yes:

- (a) What is the name(s) of the joint awarding partner(s)?

--

- (b) Please indicate who will be responsible for each of the following functions:

Registration of Candidates	
Approval of Delivery sites	
Production of Assessment Guide	
External Verification and Quality Assurance	
Certification of Qualifications	

*[Attach a copy of the joint partnership agreement: Name this attachment as: **Annex 1- Joint Partnership Agreement**]*

## C. CRITERIA FOR ACCREDITATION

### C.1 *Criteria 1 – Purpose, Outcomes and Admission Requirements*

State the purpose, outcomes and requirements for admission into the programme.

1.1 Purpose:

--

1.2 Outcomes:

--

1.3 Admission Requirements:

--

### C.2 *Criteria 2 – Components, Learning Outcomes, Level and Credit*

2.1 In the tables below, provide the following information for each component and the learning outcomes that it constitutes of:

#### Component 1:

<b>Name</b>			
<b>Level</b>		<b>Credit Value</b>	
<b>Duration</b>		<b>Delivery Mode</b>	
<b>Name of Developer</b>		<b>Date of Review</b>	
<b>Purpose:</b>			
<b>Co- and Prerequisites:</b>			
<b>LEARNING OUTCOMES</b>			
<b>ID No.</b>	<b>Name</b>	<b>Level</b>	<b>Credit</b>

#### Component 2:

<b>Name</b>			
<b>Level</b>		<b>Credit Value</b>	
<b>Duration</b>		<b>Delivery Mode</b>	
<b>Name of Developer</b>		<b>Date of Review</b>	
<b>Purpose:</b>			
<b>Co- and Prerequisites:</b>			
<b>LEARNING OUTCOMES</b>			
<b>ID No.</b>	<b>Name</b>	<b>Level</b>	<b>Credit</b>

**Component 3:**

<b>Name</b>			
<b>Level</b>		<b>Credit Value</b>	
<b>Duration</b>		<b>Delivery Mode</b>	
<b>Name of Developer</b>		<b>Date of Review</b>	
<b>Purpose:</b>			
<b>Co- and Prerequisites:</b>			
<b>LEARNING OUTCOMES</b>			
<b>ID No.</b>	<b>Name</b>	<b>Level</b>	<b>Credit</b>

**Component 4:**

<b>Name</b>			
<b>Level</b>		<b>Credit Value</b>	
<b>Duration</b>		<b>Delivery Mode</b>	
<b>Name of Developer</b>		<b>Date of Review</b>	
<b>Purpose:</b>			
<b>Co- and Prerequisites:</b>			
<b>LEARNING OUTCOMES</b>			
<b>ID No.</b>	<b>Name</b>	<b>Level</b>	<b>Credit</b>

*[Attach a copy of the descriptor of each component of the programme: Name this attachment as: **Annex 2-Component Descriptors**]*

**C.3 Criteria 3 – Programme Design, Approval and Review**

3.1 Describe the procedures on the development and approval of the programme.


3.2 Was there stakeholder involvement in the development and approval of the programme?

Yes

No

If **yes**, identify the stakeholders, their role and interest


*[Provide evidence of stakeholder involvement as an attachment. Name this attachment as: **Annex3-Documentation on stakeholder involvement**]*

3.3 Provide the following details pertaining to the development and approval of the programme:

No.	Question	Response
a.	Name of the organization responsible for developing the programme	
b.	When was the structure(s) of the programme approved?	
c.	When was the programme approved?	
d.	Who approved the programme?	

3.4 Discuss the strategy (processes, participants, and timing) on the regular monitoring, evaluation and review of the programme and its components.


3.5 What transitory arrangements are in place to safeguard the interests of learners should there be a winding up of the programme or its amendment following a review?


#### ***C.4 Criteria 4 - Delivery and Learning Methods***

4.1 State the delivery site(s) and mode(s)?

Delivery Site	Delivery Modes
1.	
2.	

4.2 Are there any practical, field or work-based components based away from delivery site(s)?

**Yes**

**No**

If yes, describe briefly the arrangements/provisions on the following:

4.2.1 Selection of an appropriate workplace


4.2.2 Selection of a suitably qualified workplace supervisor


4.2.3 Provision of feedback to learners from workplace supervisors/assessors


4.2.4 Clarification of specific roles and responsibilities of learners, workplace supervisors and trainers in the duration of the attachment


4.2.5 Personnel responsible for coordinating, carrying out and reporting assessment, moderation and evaluation of practical work-based components


4.2.6 Work rotation to enable the learner to be exposed to all aspects of the job


4.2.7 Safety and welfare of learners in the duration of the attachment  
*(Comment on cultural, emotional and physical risk management)*


*[Attach a copy of the policy on workplace attachment: Name this attachment as: **Annex 4-Workplace Attachment Policy**]*

### **C.5 Criteria 5 – Assessment and Moderation**

5.1 In the template shown in Appendix 1, provide an assessment plan for each component.

*[Attach a copy of assessment plan. Name this attachment as: **Annex 5-Assessment Plan**]*

5.2 Describe the arrangements on the quality assurance of the following:

5.2.1 Development of assessment strategy, items and tools


5.2.2 Administration of assessment


5.2.3 Grading and determination of assessment outcomes


5.3 Explain the provisions on the following:

5.3.1 Pre- and post-assessment meetings with learners.


5.3.2 Re-assessments, special assessments and dealing with impaired performance where learners cannot complete an assessment because of circumstances beyond their control.


5.3.4 Appeals and review of assessment decisions.


5.4 Describe how the learners would be provided with regular feedback on progress and final achievement (comment on the means and frequency of feedback).


5.5 Explain the internal and external moderation policies and procedures.


### **C.6 Criteria 6 – Resources**

6.1 What is the teacher to learner ratio for the programme for the stated delivery modes?


6.2 Provide information on the staff involved in the teaching/training of the programme.

No.	Name of Staff	Qualifications (Professional & Technical)	Experience

6.3 In the table below, provide information on all teaching and learning resources that support the delivery of the programme.

No.	Name of Resource	Quantity	Remarks on Condition (Operational/Faulty)

*[For items not yet purchased, attach an acquisition plan. Name this attachment: **Annex 6-Resource acquisition plan**]*

6.4 List all support/guidance systems accessible to learners for the programme.


**C.7 Criteria 7 – Completion Requirements**

7.1 What are the core courses and electives (if any) in the programme?


7.2 State the requirements for the completion of the programme, including: maximum and minimum periods of time (if any); minimum attendance and coursework requirements and progression requirements.


7.3 Specify the grading system and structure.


7.4 Provide an overview of any progression opportunities from the proposed programme to other programmes.


**DECLARATION**

I, \_\_\_\_\_, of \_\_\_\_\_,  
*[full name of authorized officer]* *[name of the institution]*

do solemnly and sincerely declare that the information contained on the preceding pages and attachments is true and correct, and I make it with the understanding and belief that incorrect information will invalidate the application and make it null and void.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

--

1. Provide the following information in respect of the assessment of the component:

**Name of Component:** \_\_\_\_\_

No.	Learning Outcome	Assessment Methodologies	Assessment Task	Date	Weight	Pre assessment Moderation	Post-assessment moderation

2. When and who approved the assessment strategy?

3. For this component, describe the following:

a) Completion rules, including any special requirements that need to be met

b) Grading system for recognition of various levels of performance

## Appendix 3: Template for Evaluation of Institutional Accreditation Application

### APPLICATION FOR ACCREDITATION OF INSTITUTION EVALUATION TEMPLATE - [FORM IA-02]

[TO BE COMPLETED BY THE EVALUATOR]

#### **Instructions to the Evaluator:**

*The tables below contain outcomes against which an application for the accreditation of an institution would be evaluated.*

*For each outcome listed, the relevant annexure number is indicated, if applicable. A tick (√) indicates that a site visit is necessary. For an outcome that has neither an annexure number nor a tick, the assessment of the outcome is to be based on data or information supplied by the institution through the Application Form or, if necessary, from a site visit.*

*A tick (√) must be placed in the last column for each outcome that has been met. Details of the evidence provided in support of the outcome must also be added in the "Evidence" column. Detailed and specific comments, if necessary, must be noted in the table that follows.*

#### **A. Details of Institution**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution has valid contact details and physical address.		√		
2	The "type of institution" is appropriate to the nature of programmes that it offers.				
3	The programmes offered at various locations is clearly spelt out.				
4	The institution has a head office on the premises to provide support for students and staff.		√		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## B.1 Establishment, Organizational Focus and Structure

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result ( Tick if outcome met)
1	The institution is constituted and legally recognized under a law of the country or equivalent.	1			
2	The institution complies with the relevant national legislative requirements of organizations and entities.				
3	The institution has a clearly stated vision, mission and goals.	2			
4	The mission and goals guide decision-making, planning, resource allocation and programme development and delivery.	2			
5	The mission and goals reflect a desire to develop, sustain and improve the delivery and quality of education and training.	2			
6	There is a well-defined and clear organizational structure.	3			
7	The organizational structure is suitable for the purposes of the institution and for the provision of quality education.	3			
8	The organizational structure reflects the provision of education and training, and administrative, financial and support services.	3			
9	The organizational structure places people or groups at appropriate levels to ensure adequate authority for implementation and effective line of reporting.	3			
10	The key responsibilities of distinct positions are stated and demarcated.	4			
11	The institution has pre-defined and clearly stated graduate and staff attributes.				
12	The historical background of the institution shows a reputation in the provision of quality education.				
13	The institution's focus is clearly articulated as being the delivery of quality higher education.	5			

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## B.2 Governance and Management

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution has a governing authority with oversight responsibilities of all the institution's activities.				
2	The governing board is lawfully constituted.				
3	The powers and functions of the board and procedures for the conduct of its members is clearly specified.	6			
4	The Directors of the institution are sufficiently experienced or qualified for the governance of the institution.				
5	The head of the institution is appropriately qualified academically and professionally.				
6	There is a management team vested with powers to make decisions, and is responsible and accountable for the decisions that it makes.				
7	There is an academic committee or Senate for the overall academic governance of the institution.				
8	The institution has appropriate structures for its corporate governance.				
9	The institution's operations are governed by its statutes or by-laws or rules.				
10	The various departments/divisions/faculties are headed by suitably qualified personnel who have powers to make decisions independently and take responsibility and accountability for the decisions that they make.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### B.3 Programme Development and Review

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify		Result (Tick if outcome met)
1	There is a policy containing procedures and guidelines on the design, development, approval and review of programmes and courses.	7			
2	The policy makes provision for the following: a) Participation of students, staff and stakeholders (industrial, professional, technical, academic and community) in the design, development, approval and review of programmes. b) Participation of students in the evaluation of courses on a regular basis. c) Outcomes of programme monitoring and review processes to contribute to continuous improvement of courses and programmes.	7			

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### B.4 Learning and Teaching

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution makes available information on the programmes and services that it offers.	8			
2	Only the programmes declared in the application forms are offered by the institution.		√		
3	There is a policy/procedures on learning and teaching.	8			
4	The policy/procedures on learning and teaching have provisions to ensure that: a) Learning and teaching activities and associated resources provide every student	8			

	<p>with an equal and effective opportunity to develop their skills and achieve the intended learning outcomes.</p> <p>b) Information Communications Technology is integrated to enhance learning and teaching/training.</p> <p>c) Varied and innovative teaching strategies (including practical and field work) are applied in the delivery of programmes.</p> <p>d) The efficient conduct of work-based and practical attachments.</p> <p>e) The quality of teaching and training delivery in all modes and sites is evaluated.</p> <p>f) The learning and teaching practices are informed by reflection, evaluation and currency of professional and industrial practice.</p> <p>g) There are structures for the sound conduct of the processes on learning and teaching.</p>				
5	The institution has a system of assuring the quality of its programmes and qualifications.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### ***B.5 Financial Stability***

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution has the financial capacity to sustain its operations.	9			
2	Financial planning is linked to institutional goals and strategies.				
3	The institution has appropriate personnel and systems to ensure the conduct and reporting of financial operations in accordance with sound financial management practices.				
4	The financial procedures and protocols are clearly documented				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## **B.6 Staffing**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	There is an academic manager for the management and administration of the academic affairs of the institution.				
2	The ratio of academic staff to students is acceptable.				
3	The academic staff are suitably qualified.				
4	The technical staff have the requisite qualification and industrial experience.				
5	The programmes offered are supported by an appropriate number and quality of staff.				
6	There is a policy on staffing which has provisions on: <ul style="list-style-type: none"> <li>• Selection and recruitment;</li> <li>• Professional development and training;</li> <li>• Evaluation and appraisal;</li> <li>• Promotion; and</li> <li>• discipline</li> </ul>	10			
7	The policy on staffing is clearly documented, accessible, fair and is consistent with the institution's mission and goals.	10			
8	There are rules to govern the behavior and conduct of staff.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## B.7 Learner Information and Support

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	Information about the institution and its training provisions is available to the public at all times.				
2	The institution provides an annual calendar containing information on: criteria for admission, programme details, processes for application and admission into programmes of study and assessment and completion requirements.				
3	The procedures on selection and admission are fair, equitable, non-discriminatory and clearly documented.				
4	Selection and admission processes are conducted in a professional manner by authorized and competent staff.				
5	During selection processes, students are provided with detailed information on: <ul style="list-style-type: none"> <li>• How selection, admission and enrolment processes will be conducted?</li> <li>• What prospective students would have to do?</li> <li>• Dates for changes to programmes and refund of fees.</li> </ul>				
6	There are procedures and guidelines on making and recording decisions on selection and admission, and conveying the same to prospective students.				
7	There are mechanisms for the provision of support to learners.				
8	To enable student development and achievement, there are practices and systems that facilitate successful transitions and academic progression.				
9	Information on the nature and conditions of learner support are clearly documented and accessible to the learners.				
10	The institution, in partnership with its student body, defines the responsibilities and promotes the range of opportunities for any student to engage in educational enhancement and quality assurance.				
11	There is an environment within which students and staff engage in discussions that aim to bring about demonstrable enhancement of the educational experience.				
12	There are arrangements for the effective representation of the collective student voice at all levels of the organization, and these				

	arrangements provide opportunities for all students to be heard.				
13	Student representatives have access to training and ongoing support to equip them to fulfil their roles in educational enhancement and quality assurance effectively.				
14	The rules and regulations governing the behavior and conduct of learners is clearly documented and accessible to learners.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### ***B.8 Physical and Learning Resources***

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution is located in an environment which is conducive to teaching and learning.		√		
2	The location is clear from external disturbances and noise pollution.		√		
3	The classrooms and laboratories are adequately sized to accommodate students.		√		
4	The workspace per learner is appropriate depending on the course of study.				
5	The facilities are compliant with the standards for health and safety.	12			
6	Separate male and female toilets are adequately provided.		√		
7	The provision of electricity, water and telephone facilities are adequate.		√		
8	ICT provision for staff and students is adequate.		√		
9	The Resource Centre/library is adequately equipped to support the programmes being offered.		√		
10	The Common rooms for learners are adequate.		√		
11	Teaching aids such as overhead projectors, boards, multimedia projectors, video and audio equipment, computer and language laboratories are adequately provided.				
12	The requisite equipment, tools and materials including photocopiers are available to meet the requirements of the programmes.				

13	The institution ensures regular upgrading / maintenance of buildings and equipment.				
14	The standard of housekeeping, hygiene, cleanliness and sanitation is good.		√		
15	The institution is committed to a timely review and acquisition of resources.	13			

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### **B.9 Assessment**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	There are regulations, policies and procedures to ensure that the standard for each award of a qualification is rigorously set and maintained at the appropriate level, and that student performance is equitably judged against this standard.	14			
2	The regulations, policies and procedures on assessment are explicit, fair and contain provisions for: <ul style="list-style-type: none"> <li>• Re-assessments and special assessment</li> <li>• Progression and completion</li> <li>• Reporting assessment outcomes</li> <li>• Appealing assessment decisions</li> <li>• Dealing with unacceptable practices</li> </ul>	14			
3	There are mechanisms to ensure the following: <ul style="list-style-type: none"> <li>• Assessment tasks are aligned to learning outcomes/performance criteria.</li> <li>• Volume, timing and nature of assessment enables students to demonstrate the extent to which they have achieved the intended learning outcomes.</li> <li>• Weighting, due date and marking criteria for each assessment is clear and made available to students.</li> <li>• Assessment is carried out securely and in accordance with the principles of assessment.</li> <li>• Feedback on continuous assessment is timely, constructive and developmental.</li> <li>• Results of assessments are communicated to</li> </ul>	14			

	students promptly and in accordance with stated timescales.				
4	The institution has panels, with membership, procedures, powers and accountability to approve assessment tools and outcomes.				
5	The proceedings of assessment boards and assessment panels are recorded accurately.				
6	The processes for grading assessments and moderating marks are fair and explicit.	14			
7	The records on assessment are secure and systematically maintained.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### ***B.10 Reporting Learner Achievement***

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	There are provisions on the issue of transcripts and certificates to learners who have successfully completed a programme and met all its requirements	15			
2	The transcripts provide information on: <ul style="list-style-type: none"> <li>• Results obtained</li> <li>• Grading structure</li> <li>• Procedure for aggregation of credits</li> <li>• conditions for issuance of qualifications and results upon completion or partial completion of programmes; and</li> <li>• Conditions and circumstances for re-issuance of qualifications.</li> </ul>				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### B.11 Research

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution has structures and provisions for research and free intellectual inquiry.	15			
2	Staff members are encouraged to carry out research.				
3	The findings of research are shared amongst staff and inform the development, delivery and assessment of programmes.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### B.12 Information Management

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	There are credible mechanisms for the collection and management of data on: <ul style="list-style-type: none"> <li>• Personal details</li> <li>• Assessment results/outcomes</li> <li>• Programme completion and progression</li> <li>• Employability of graduates</li> <li>• Evaluation of programmes; and</li> <li>• Nature of learning resources</li> </ul>		√		
2	Controls are in place to ensure data is kept securely and confidentially at all times.				
3	There are conditions governing learners' access to their records and sharing of data with stakeholders.				
4	Data is being analysed, and the analysis informs the continuous improvement of the institution and its provisions.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### ***B.13 Appeals, Grievances and Complaints Resolution***

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The institution has a system to deal with students' and staff grievances.	17			
2	The procedures and requirements for filing appeals, complaints and grievances are explicit and accessible to staff and students.	17			
3	There is a committee to handle appeals, grievances and issues of discipline of students and staff.	17			
4	Appeals and complaints procedures are conducted in a timely and fair manner and allow for representation by all parties.	17			
5	The institution ensures that appropriate action is taken following an appeal or complaint.				
6	There is a clear refund policy for students which reflects equity and transparency.	17			
7	There are reasonable arrangements to protect students' interests in the case of the winding up of the institution.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

**C. OVERALL COMMENTS & RECOMMENDATION**

**SUMMARY**

The institution, through the information made available, has demonstrated its commitment to the following *[place a tick (√) beside those applicable]*:

- Good governance
- Transparency and accountability
- Quality leadership at all levels
- Efficient, effective and productive operations
- Quality and relevance in educational and training programmes
- Sound financial management
- Institutional and individual integrity and capability
- Professionalism in all aspects of its work
- Commitment to serving its clients
- Strive for quality, relevance and excellence
- Being ethical, just and fair
- Encouragement of academic and personal freedom and rights
- Culture of dialogue, collaboration and engagement
- Information sharing

**COMMENDATIONS**


**GENERAL COMMENTS**


<b>Recommendation</b> (tick (√) appropriate box)	<b>Granted</b>	
	<b>Declined</b>	

Name of Evaluator: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/ 20\_\_\_\_

## Appendix 4: Template for Evaluation of Programme Accreditation Application

### APPLICATION FOR ACCREDITATION OF PROGRAMME EVALUATION TEMPLATE - [FORM PA-02]

[TO BE COMPLETED BY THE EVALUATOR]

#### **Instructions to the Evaluator**

*The tables below contain outcomes against which an application for the accreditation of a programme would be evaluated.*

*For each outcome listed, the relevant annexure number is indicated, if applicable. A tick (√) indicates that a site visit is necessary. For an outcome that has neither an annexure number nor a tick, the assessment of the outcome is to be based on data or information supplied by the institution through the Application Form or, if necessary, from a site visit.*

*A tick (√) must be placed in the last column for each outcome that has been met. Details of the evidence provided in support of the outcome must also be added in the "Evidence" column. Detailed and specific comments, if necessary, must be noted in the table that follows.*

#### **A. Details of Institution**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The name of institution is clearly specified.		√		
2	The institution has been accredited as a post-secondary education and training provider.				
3	The name and contact details of the authorised officer is provided.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## B. Programme Details

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The title is concise, distinctive, appropriate and indicative of the content.		√		
2	The title includes a classification category (or subject).				
3	The total number of credits is shown.				
4	The total credit is the aggregate of the credits of the components stated in whole numbers only.				
5	The credits are shown for each Level.		√		
6	The length of the qualification is clearly defined and is appropriate.				
7	The qualification level complies with the "relevant qualification definitions and credit profile".				
8	For a qualification offered in partnership with another organization, the name of the Joint Awarding Partner is given.	1			
9	The organisation (s) responsible for the following functions are clearly specified: a) Registration of Candidates b) Approval of Delivery sites c) Production of Assessment Guide d) External Verification and Quality Assurance e) Certification of Qualifications	1			

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### C.1 Purpose, Outcomes and Admission Requirements

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result ( Tick if outcome met)
1	The purpose statement addresses the following questions: a) Who would the target learners be? b) Why learner should study the qualification? c) What industry needs would be met? d) How the industry needs would be met?				
2	The outcome statement reflects the level assigned.				
3	The outcome statement describes what a holder of the qualification is expected to achieve in relation to the application of knowledge, skills and learning outcomes.				
4	The outcome statement is aligned to a unique level on the qualifications framework and its level descriptors.				
5	The entry and selection criteria and requirements (including co-requisite and/or pre-requisite requirements) are fair, reasonable and clearly stated.				
6	There are provisions for cross credits, credit transfer and recognition of prior learning.				
7	There are provisions for industry experts to be engaged in the assessment of RPL.				
8	Entry restrictions (if any) and their reasons are clearly stated and non-discriminatory.				
9	Registration or licensing requirements, if applicable, are stated.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## C.2 Components, Learning Outcomes, Level and Credit

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The components that make up the qualification are stated.	2			
2	The components are appropriate for the level, type, credit value and outcomes of the qualification.	2			
3	The components and learning outcomes constitute a coherent programme whose purpose meets the outcome of the qualification.	2			
4	The levels of the components are appropriate in terms of the complexity of the learning outcomes and the volume of learning.	2			
5	The purpose statement of the component is appropriate and aligned to the purpose of the qualification.	2			
6	The co- and pre-requisites are clearly stated and reasonable for the nature and level of the component.	2			
7	The learning outcomes for each component are measureable.	2			
8	The levels and credits of all learning outcomes are stated.	2			
9	The total credit of each component is the aggregate of the credits of its learning outcomes stated in whole numbers only.	2			

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## C.3 Programme Design, Approval and Review

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	Appropriate procedures were followed in the development and approval of the programme.				
2	There is evidence of stakeholder involvement in the development and approval of the programme.	3			

3	Details of stakeholder involvement in the development and approval of the qualification are provided.				
4	There is a reliable and valid process for the regular monitoring, evaluation and review of the qualification and its components.				
5	Reviewed qualifications or components have adequate transition arrangements in place to protect learner interests.				
6	Learners enrolled in the programme will not be disadvantaged by the outcome of the review.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

#### ***C.4 Delivery and Learning Methods***

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The delivery mode(s) for each of the site(s) is/are stated.				
2	The delivery and learning methods are appropriate to the nature of the qualification, the learning outcomes and the prospective learners.				
4	<p>The policy/procedures on workplace attachment have provisions/arrangements for the following:</p> <p>a) Selection of an appropriate workplace</p> <p>b) Selection of a suitably qualified workplace supervisor</p> <p>c) Provision of feedback to learners from workplace supervisors/assessors</p> <p>d) Clarification of specific roles and responsibilities of learners, workplace supervisors and trainers in the duration of the attachment</p> <p>e) Identification of the personnel responsible for coordinating, carrying out and reporting</p>	4			

assessment, moderation and evaluation of practical work-based components				
f) Job rotation to enable the learner to be exposed to all aspects of the job				
g) Safety and welfare of learners in the duration of the attachment				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### **C.5 Assessment and Moderation**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The assessment plan(s) are outlined and practicable in terms of resources, personnel and timeliness.	5			
2	Assessment methodologies are stated and compatible with the nature of qualification and learning outcomes.	5			
3	There are assessment activities for all components and learning outcomes.	5			
4	The assessment tasks are aligned to learning outcomes.	5			
5	The assessment activities are scheduled sporadically in the duration of the qualification.	5			
6	The volume and weighting of assessment tasks is appropriate and made known to learners.	5			
7	The pre-assessment meetings discuss learner preparation, assessment methodology and assessment requirements.	5			
8	The post-assessment meetings discuss learner achievement and provisions for re-assessment and appeals.	5			
9	There are reasonable provisions on the quality assurance of the: a) Development and approval of assessment items and tools b) Administration of assessment c) Grading and determination of assessment outcomes.				
10	There is a system for the provision of regular				

	feedback to learners on their progress and final achievement.				
11	Feedback on continuous assessment is timely, constructive and developmental.				
12	The grading system for the recognition of various levels of performance are fair and clearly documented.	5			
13	There are provisions for re-assessments, special assessments, dealing with impaired performance and appealing assessment decisions.				
14	The conditions and requirements for re-assessments, special assessments, dealing with impaired performance and appealing assessment decisions are fair and reasonable.				
15	There are provisions for assessment appeal applications to be processed fairly and objectively.				
16	For moderation; a) There is a valid, reliable and well documented plan; b) The criteria is clear, transparent and accessible to learners; c) There is a transparent process for the appointment of a suitably qualified moderator.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### **C.6 Resources**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The teacher to learner ratio for the qualification for the stated delivery mode (s) is acceptable.				
2	There is an adequate number of suitably qualified and/or experienced staff to deliver the qualification.				
3	There is a sufficient level of teaching and learning resources.				
4	There is a detailed and acceptable acquisition plan for the replacement of existing resources and acquisition of new resources.	6			

5	Support and guidance systems accessible to learners for the qualification are suitable and sufficient.				
---	--	--	--	--	--

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### **C.7 Completion Requirements**

Indicate if the institution has met the Outcomes stated below:

No.	Outcome	Relevant Annex Number	Site visit to verify	Evidence	Result (Tick if outcome met)
1	The core courses and electives are appropriate and clearly documented.				
2	The requirements on duration, attendance, assessment, progression and any other special requirements are reasonable and clearly documented.				
3	There are provisions to inform learners about the requirements on duration, attendance, continuous assessment, progression and any other special requirements.				
4	The grading system and structure for the qualification is defined and clearly documented.				
5	Progression pathways are provided from the proposed qualification to other qualification (s).				
6	The range of cross credits and special requirements for admission into the programme are clearly stated.				

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

**C. OVERALL COMMENTS & RECOMMENDATION**

**COMMENDATIONS**


**GENERAL COMMENTS**


<b>Recommendation</b> (tick (✓) appropriate box)	<b>Granted</b>	
	<b>Declined</b>	

Name of Evaluator: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_

## Appendix 5: Template for Quality Audit of Agency

# QUALITY AUDIT OF NATIONAL ACCREDITATION AGENCY EVALUATION TEMPLATE - [FORM NA-01]

[TO BE COMPLETED BY THE EVALUATOR]

### Notes for the Auditor

*The tables below contain outcomes against which an agency would be audited.*

*A tick (√) must be placed in the last column for each outcome that has been met. Details of the evidence provided in support of the outcome must also be added in the "Evidence" column. Detailed and specific comments, if necessary, must be noted in the table that follows.*

## 1. Establishment and Recognition

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
1.1	The agency is established by virtue of a legal or equivalent instrument.		
1.2	The functions and powers of the agency are clearly specified.		
1.3	The primary purpose of the agency is to set standards for education and training provision and programmes.		
1.4	The agency has vision, mission, goals and objectives that are consistent with its purpose.		
1.5	The outcomes and consequences of the processes and activities of the agency are accepted within the higher education system, by the State, the stakeholders and the public.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 2. Governance, Management and Structure

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
2.1	The agency has a governing body whose members are suitably qualified and experienced.		
2.2	The membership of the governing body is representative of the		

	various sectors of education and training in the country.		
2.3	The governing body has a strategic role in providing directions on effective management of its operations.		
2.4	There is a management team responsible for the efficient conduct of the functions of the agency.		
2.5	The members of the management team are appropriately qualified and experienced.		
2.6	There is a clear demarcation between the deliverables and accountabilities of the governing body and the management team.		
2.7	There is a well-defined organizational structure which reflects the nature of positions and personnel required to carry out the functions of the agency.		
2.8	The reporting relationships and line of authority are clearly specified in the organizational structure.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

### 3. Independence and Autonomy

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
3.1	The agency is independent and acts autonomously. a) Organisational independence - the documentation on the establishment of the agency shows its independence from higher education institutions, Government and other stakeholders. b) Operational independence - the definition and operation of the agency's procedures and methods as well as the nomination and appointment of external experts are undertaken autonomously and independently from third parties such as higher education institutions, Government and other stakeholders. c) Independence of formal outcomes - while experts from relevant stakeholder organisations take part in quality assurance processes, the final outcomes of the quality assurance processes remain the responsibility of the agency.		
3.2	The agency's decisions on quality assurance processes are fair, consistent and based on pre-defined and publicized criteria.		
3.3	The agency has in place mechanisms to manage conflicts-of-interest in the work of its governing body, management and staff.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

#### **4. External quality assurance criteria and processes for HEIs**

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
4.1	The agency has well defined and clearly documented processes and criteria for the quality assurance of institutions and their programmes.		
4.2	The quality assurance policies, procedures, guidelines and requirements are publicly available.		
4.3	The agency's quality assurance strategies incorporate international guidelines.		
4.4	There is evidence of stakeholder involvement in the development of standards and criteria for quality assurance.		
4.5	The quality assurance reports prepared by the agency are accessible to stakeholders.		
4.6	The agency regularly holds sessions to advise institutions about the criteria and requirements for quality assurance and how they could demonstrate their compliance of them.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 5. Internal Quality Assurance System

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
5.1	The agency has policies and procedures on internal quality assurance.		
5.2	The policies and procedures on internal quality assurance demonstrate the agency's accountability to its stakeholders and are publically available.		
5.3	The agency ensures that its staff are competent and act professionally and ethically.		
5.4	There are processes to ensure the quality of outputs, activities and material produced by the staff and agents of the agency.		
5.5	There are regular self-reviews of the agency by adequately qualified and experienced personnel.		
5.6	The agency has in place internal and external feedback mechanisms that lead to continuous improvement within the agency.		
5.7	The agency makes accessible reports on its quality assurance to the stakeholders.		
5.8	The agency produces its annual and audited financial reports on a regular basis.		
5.9	The agency is affiliated to and collaborates with regional and international quality assurance agencies and networks.		
5.10	The agency has a website through which it provides public information about itself and the outcomes of the processes that it administers.		
5.11	There is a dedicated team of staff who are primarily responsible for assuring the quality of its operations.		
5.12	The agency has established and clearly documented processes, procedures and guidelines on its administrative, financial and human resources operations.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 6. Resources

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
6.1	The agency has an adequate level of physical and financial resources to carry out its functions and responsibilities.		
6.2	There is an adequate level of suitably qualified and experienced staff in the agency.		

6.3	The agency has a pool of qualified and trained assessors and auditors.		
6.4	There are strategies and provisions for continuous professional development and training of the staff.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 7. Representation and Appeals

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
7.1	There are clearly defined provisions for institutions to seek review of the decisions made by the agency.		
7.2	The policies, procedures and requirements of reviews are fair and publicly available.		
7.3	There is an independent committee to handle applications for review of decisions.		
7.4	Representations and appeals procedures are conducted in a timely and fair manner and allow for representation by all parties.		
7.5	The outcome of an appeal is relayed to the institution within a reasonable period of time.		
7.6	There is confidence that the outcomes of representations and appeals would be respected and complied with by all parties.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 8. Reporting

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
8.1	The agency ensures that the reports that it prepares are clear, factual, accurate and supported by authentic evidence.		
8.2	The quality assurance reports prepared by the agency contain information on: outcomes/decisions, reasons for decisions,		

	recommendations on remedial measures, and provisions for reconsideration and appeal.		
8.3	The reports on institutions and their programmes are made available to the institutions within a reasonable period of time.		
8.4	The agency clearly communicates any issues for institutional follow-up for redress with a defined timeframe and expected outcomes.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

## 9. Information Management

Indicate if the agency has met the Outcomes stated below:

No.	Outcome	Evidence	Result (Tick if outcome met)
9.1	There is a credible system for the collection and management of data.		
9.2	The agency systematically maintains records of official data, decisions and outcomes of its processes.		
9.3	There are documented procedures governing the safe keep and release of confidential data.		
9.4	Data is analyzed and results are used in the overall development of the education and training sector in the country.		

*In the table below, please provide detailed and specific comments, if you wish, on any of the outcomes mentioned above. State the outcome number being referred to.*

Outcome Number	Comments

**C. OVERALL COMMENTS & RECOMMENDATION**

**SUMMARY**

The agency, through the information made available, has demonstrated its commitment to the following *[place a tick (√) beside those applicable]*:

- Good governance
- Independence and Autonomy
- Transparency and accountability
- Quality leadership at all levels
- Alignment with best practices on quality assurance
- Efficient, effective and productive operations
- Organisational and individual integrity and capability
- Professionalism in all aspects of its work
- Commitment to serving its clients
- Strive for quality and excellence
- Being ethical, just and fair
- Culture of dialogue, collaboration and engagement
- Information sharing

**COMMENDATIONS**


**GENERAL COMMENTS**


<b>Recommendation</b> (tick (√) appropriate box)	<b>Highly Confident</b>	
	<b>Confident</b>	
	<b>Not yet Confident</b>	

Name of Evaluator: \_\_\_\_\_ Signature: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/20\_\_\_\_